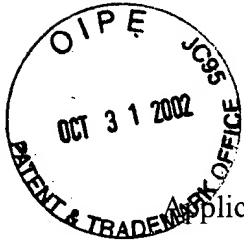


11/21/02  
Had Amtd  
B



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

NOV 05 2002

TC 1700

Applicants: Pradeep K. Dhal, Richard T. Ingwall, Eric S. Kolb, Hsin Yu Li and  
David A. Waldman

Application No.: 08/970,066 Group: 1756

Filed: November 13, 1997 Examiner: Angebranndt, M.

Confirmation No.: N/A

For: HOLOGRAPHIC MEDIUM AND PROCESS FOR USE THEREOF

|  |
|--|
| Date: <u>October 31 2002</u>               |
| EXPRESS MAIL LABEL NO. <u>EV 214950862</u> |

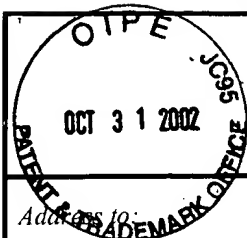
PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

Sir:

This Amendment is being filed in response to the decision by the Board of Appeals mailed on September 4, 2002 upholding the decision of the Examiner. In lieu of filing an appeal or a request for reconsideration, Applicants are filing a divisional Continued Prosecution Application under 37 C.F.R. § 1.53(d). Examination of the new claims presented by this Preliminary Amendment is requested.

RECEIVED  
NOV 12 2002  
TC 1700



**CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTAL**

Submit an original, and a duplicate for fee processing  
(Only for Continuation or Divisional applications under 37 C.F.R. 1.53(d))

CHECK BOX, if applicable.  
☐ DUPLICATE

Address to:

Assistant Commissioner for Patents  
Box CPA  
P.O. Box 2327  
Arlington, VA 22202

|  |                         |
|--|-------------------------|
| Attorney Docket No. of Prior Application | C-8232 ( 3174.1011-000) |
| First Named Inventor                     | Pradeep K. Dhal         |
| Examiner Name                            | Angebrannndt, M.        |
| Confirmation Number                      | N/A                     |
| Group / Art Unit                         | 1756                    |
| Express Mail Label No.                   | EV 214950862 US         |

RECEIVED

NOV 05 2002

TC 1700

This is a request for a ☐ continuation or ☒ divisional application under 37 C.F.R. 1.53(d) (continued prosecution application (CPA)) of prior application number 08/970,066, filed on November 13, 1997, entitled HOLOGRAPHIC MEDIUM AND PROCESS FOR USE THEROF.

**NOTES**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 C.F.R. §1.51(b), or (2) that national stage of an international application in compliance with 35 U.S.C. 371. A Notice will be placed on a patent issuing from a CPA, except for reissues and designs, to the effect that the patent issued on a CPA and is subject to the twenty-year patent term provisions of 35 U.S.C. § 154(a)(2). Therefore, the prior application of a CPA may have been filed before, on or after June 8, 1995.

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 C.F.R. § 1.53(d), but must be filed under 37 C.F.R. § 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 C.F.R. §1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 C.F.R. 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 C.F.R. § 1.78(a).

1. ☐ Enter the unentered amendment previously filed on ☐ under 37 C.F.R. § 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed.
3. ☐ This application is filed by fewer than all the inventors named in the prior application, 37 C.F.R. § 1.53(d)(4).
  - a. ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:  
[ ]
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent is enclosed.
5. ☐ Information Disclosure Statement (IDS) is enclosed:
  - a. ☐ PTO-1449
  - b. ☐ Copies of IDS Citations

RECEIVED  
NOV 12 2002  
TC 1700

RECEIVED  
NOV 13 2002  
TC 1700

| CLAIMS | (1) FOR   | (2) NUMBER FILED | (3) NUMBER EXTRA | (4) RATE                             | (5) CALCULATIONS |
|--------|---|------------------|------------------|--------------------------------------|------------------|
|        | TOTAL CLAIMS<br>(37 CFR 1.16(c) or (j))   | 13 - 20* =       | 0                | x \$ 18 =                            | \$ 0             |
|        | INDEPENDENT CLAIMS<br>(37 CFR 1.16(b) or (i))   | 1 - 3** =        | 0                | x \$ 84 =                            | \$ 0             |
|        | MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))  |                  |                  | + \$ 280 =                           | \$               |
|        |   |                  |                  | BASIC FEE<br>(37 CFR 1.16(a) or (h)) | \$ 740           |
|        | Total of above Calculations =   |                  |                  |                                      | \$ 740           |
|        | Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =  |                  |                  |                                      | \$               |
|        | TOTAL =   |                  |                  |                                      | \$ 740           |
|        | Petition for Extension of Time Fee (37 C.F.R. 1.17) =   |                  |                  |                                      | \$               |
|        | TOTAL =   |                  |                  |                                      | \$ 740           |
|        | * Reissue claims in excess of 20 and over original patent<br>** Reissue independent claims over original patent |                  |                  |                                      |                  |

6. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

7. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

8. ☒ A check is enclosed for \$740.00. ☐ Please charge \$[ ] to Deposit Account No. 08-0380.

9. ☐ New Attorney Docket No.

10. ☒ a. ☐ Receipt for Facsimile Transmitted CPA

b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)

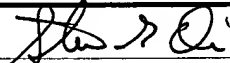
11. ☐ Other: \_\_\_\_\_

**NOTE:** The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

12. NEW CORRESPONDENCE ADDRESS

|         |  |           |  |          |  |
|---------|--|-----------|--|----------|--|
| NAME    |  |           |  |          |  |
| ADDRESS |  |           |  |          |  |
| CITY    |  | STATE     |  | ZIP CODE |  |
| COUNTRY |  | TELEPHONE |  | FAX      |  |

13. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

|                                       |   |             |                  |
|---------------------------------------|---|-------------|------------------|
| Signature                             |  | Date        | October 31, 2002 |
| Submitted by<br>Typed or Printed Name | Steven G. Davis, Esq.   | Reg. Number | 39,652           |